



U.S. Application No.

International Application No.  
PCT/JP99/02658

Attorney Docket No.  
SAEGU64.001APC

09/700988  
Page 1

**TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 USC 371**

International Application No.: PCT/JP99/02658  
International Filing Date: May 20, 1999  
Priority Date Claimed: May 20, 1998  
Title of Invention: NON-AQUEOUS SECONDARY BATTERY AND ITS CONTROL METHOD  
Applicant(s) for DO/EO/US: Shizukuni Yata, Haruo Kikuta, Hajime Kinoshita, Hiroyuki Tajiri and Shiro Kato

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 USC 371.
2. ☒ This express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 USC 371(b) and PCT Articles 22 and 39(1).
3. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
4. ☒ A copy of the International Application as filed (35 USC 371(c)(2))
  - a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b) ☒ has been transmitted by the International Bureau.
  - c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
5. ☒ A translation of the International Application into English (35 USC 371(c)(2)).
6. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 USC 371(c)(3))
  - a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b) ☐ have been transmitted by the International Bureau.
  - c) ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d) ☒ have not been made and will not be made.

**Items below concern other document(s) or information included:**

7. ☒ A **FIRST** preliminary amendment.
8. ☒ Formal Drawings in nineteen (19) pages.
9. ☒ International Application as published (face sheet only).
10. ☒ PCT Form PCT/IB/308.
11. ☒ International Search Report.

U.S. Application No.

09/7700988

International Application No.  
PCT/JP99/02658Attorney Docket No.  
SAEGU64.001APC

Date: November 20, 2000

Page 2

12. (X) PCT request form.
13. (X) A return prepaid postcard.
14. (X) The following fees are submitted:

				FEES
<b>BASIC FEE</b>				\$860
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	45 - 20 =	10 ×	\$25	\$250
Independent Claims	3 - 3 =	0 ×	\$80	\$0
Multiple dependent claims(s) (if applicable)			\$270	\$270
<b>TOTAL FEES ENCLOSED</b>				\$1,380

15. (X) The fee for later submission of the signed oath or declaration set forth in 37 CFR 1.492(e) will be paid upon submission of the declaration.
16. (X) A check in the amount of \$1,380.00 to cover the above fees is enclosed.
17. (X) The Commissioner is hereby authorized to charge only those additional fees which may be required, now or in the future, to avoid abandonment of the application, or credit any overpayment to Deposit Account No. 11-1410. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

KNOBBE, MARTENS, OLSON & BEAR, LLP  
620 Newport Center Drive  
Sixteenth Floor  
Newport Beach, CA 92660

  
Signature

Daniel E. Altman  
Printed Name

34,115  
Registration Number

VERIFICATION OF A TRANSLATION

I, the below named translator, hereby declare that:

My name and post office address are as stated below:

That I am knowledgeable in the English language and in the language in which the below identified international application was filed, and that I believe the English translation of the international application No. PCT/JP99/02658 is a true and complete translation of the above identified international application as filed.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon.

Date

November 8, 2000

Full name of the translator Yumi KUJIME

Signature of the translator Yumi Kujime

Post Office Address Kitahama TNK Building 7-1, Dosho-machi  
1-chome, Chuo-ku, Osaka-shi, Osaka 541-0045  
Japan

09/700988

INTELLECTUAL PROPERTY LAW

KNOBBE, MARTENS, OLSON &amp; ASSOCIATES

A LIMITED LIABILITY PARTNERSHIP INCLUDING  
PROFESSIONAL CORPORATIONS

PATENT, TRADEMARK AND COPYRIGHT CAUSES

620 NEWPORT CENTER DRIVE

SIXTEENTH FLOOR

NEWPORT BEACH, CALIFORNIA 92660-8016

(949) 760-0404

FAX (949) 760-9502

INTERNET: WWW.KMOB.COM

JOSEPH S. CIANFRANI  
JOSEPH M. REISMAN, PH.D.  
WILLIAM R. ZIMMERMAN  
GLEN L. NUTTALL  
ERIC S. FURMAN, PH.D.  
TIRZAH ABE LOWE  
GEOFFREY Y. IIDA  
ALEXANDER S. FRANCO  
SANJIVPAL S. GILL  
SUSAN M. MOSS  
JAMES W. HILL, M.D.  
ROSE M. THIESSEN, PH.D.  
MICHAEL L. FULLER  
MICHAEL A. GUILIANA  
MARK J. KERTZ  
RABINDER N. HARULA  
BRUCE S. ITCHKAWITZ, PH.D.  
PETER M. MIDDLEY  
THOMAS S. MCCLENAHAN  
MICHAEL S. OKAMOTO  
JOHN M. GROVER  
MALLARY K. DE MERLIER  
IRFAN A. LATEEF  
AMY C. CHRISTENSEN  
SHARON S. NG  
MARK J. GALLAGHER, PH.D.  
DAVID G. JANKOWSKI, PH.D.  
BRIAN C. HORNE  
PAYSON J. LEMEILLEUR  
DIANA W. PRINCE  
SHEILA N. SWARDOOP

OF COUNSEL

JERRY R. SEILER  
PAUL C. STEINHARDTJAPANESE PATENT ATTY  
KATSUHIRO ARAI\*\*EUROPEAN PATENT ATTY  
MARTIN HELLEBRANDTKOREAN PATENT ATTY  
MINCHEOL KIMSCIENTISTS & ENGINEERS  
(NON-LAWYERS)

RAYMOND J. SALENIEKS\*\*  
JEFFERY KOEPKE, PH.D.\*\*  
KHURRAM RAHMAN, PH.D.  
JENNIFER A. HAYNES, PH.D.  
BRENDAN P. O'NEILL, PH.D.  
THOMAS Y. NAGATA  
YASHWANT VAISHNAV, PH.D.  
MEGUMI TANAKA  
CHE S. CHERESKIN, PH.D.\*\*  
ERIK W. ARCHBOLD  
PHILIP C. HARTSTEIN  
JULIE A. HOPPER  
CHRIS S. CASTLE  
JAMES W. AUSLEY  
R. P. CARON, PH.D.  
JENNIFER HAYES  
KIRK E. PASTORIAN, PH.D.  
CHARLES T. RIDGELY  
KEITH R. MCCOLLUM  
BONNY YEUNG, PH.D.  
CONNIE C. TONG, PH.D.

\* A PROFESSIONAL CORPORATION  
\*\* ALSO BARRISTER AT LAW (U.K.)  
\*\* U.S. PATENT AGENT

LOUIS J. KNOBBE  
DON W. MARTENS  
GORDON H. B. SMITH  
JAMES B. B. SMITH  
DARRELL L. BUNN  
WILLIAM H. NIEMAN  
ARTHUR S. ROSE  
JAMES F. LESNIAK  
NED A. ISRAELSEN  
DREW S. HAMILTON  
BERRY T. SEWELL  
JOHN B. SGANGA, JR.  
EDWARD A. SCHLATTER  
GERARD VON HOFFMANN  
JOSEPH R. RE  
CATHERINE J. HOLLAND  
JOHN M. CARSON  
KAREN VOGEL WEIL  
ANDREW H. SIMPSON  
JEFFREY L. VAN HOESEAR  
DANIEL E. ALTMAN  
MARGUERITE L. GUNN  
STEPHEN C. JENSEN  
VITO A. CANUSO III  
WILLIAM H. SHREVE  
LYNDA J. ZADRA-SYMES  
STEVEN J. NATAUPSKY  
PAUL A. STEWART  
JOSEPH F. JENNINGS  
CRAIG S. SUMMERS  
ANNEMARIE KAISER  
BRENTON R. BABCOCK

Assistant Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

Attorney Docket No. : SAEGU64.001APC

Applicant(s) : Shizukuni Yata, et al.

For : NON-AQUEOUS SECONDARY BATTERY AND ITS  
CONTROL METHOD

Attorney : Daniel E. Altman/Katsuhiro Arai

"Express Mail"

Mailing Label No. : EL561648438US

Date of Deposit : November 20, 2000

I hereby certify that the accompanying

Transmittal in Duplicate; Demand; English Translation of the Application in 114 pages;  
Preliminary Amendment in 2 pages; Formal Drawings in 19 pages; PCT Form  
PCT/IB/308; International Application as Published (fact sheet only); International  
Search Report; PCT Request Forms; \$1,380.00 Check for Patent Application Filing Fee;  
Return Prepaid Postcard

are being deposited with the United States Postal Service "Express Mail Post Office To Addressee"  
service under 37 CFR 1.10 on the date indicated above and are addressed to the Assistant Commissioner  
for Patents, Washington, D.C. 20231.

Justin Stotts

H:\DOCS\KOA\KOA-5958.DOC  
112000

201 CALIFORNIA STREET  
SUITE 1150  
SAN FRANCISCO, CALIFORNIA 94111  
(415) 954-4114  
FAX (415) 954-4111

550 WEST C STREET  
SUITE 1200  
SAN DIEGO, CALIFORNIA 92101  
(619) 235-8550  
FAX (619) 235-0176

3801 UNIVERSITY AVENUE  
SUITE 710  
RIVERSIDE, CALIFORNIA 92501  
(909) 781-9231  
FAX (909) 781-4507

1900 AVENUE OF THE STARS  
SUITE 1425  
LOS ANGELES, CALIFORNIA 90067  
(310) 551-3450  
FAX (310) 551-3458